

08-09-04

IFW

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail Airbill No. ED 181235032 US, in an envelope addressed to: MS Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.
Dated: August 6, 2004 Signature: Linda Blake
(Linda Blake)

Docket No.: CSHL-P01-012
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Mittal et al.

Confirmation No.: 7041

Application No.: 10/763479

Art Unit: 1645

Filed: January 23, 2004

Examiner: Not Yet Assigned

For: **REGULATED POLYMERASE III
EXPRESSION SYSTEMS AND RELATED
METHODS**

August 6, 2004

INFORMATION DISCLOSURE STATEMENT (IDS)

MS Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 CFR 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO/SB/08. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is filed before the mailing date of a first Office Action on the merits as far as is known to the undersigned (37 CFR 1.97(b)(3)).

A copy of each reference on the PTO/SB/08 is attached, except U.S. patent and U.S. patent applications.

In accordance with 37 CFR 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists. In accordance with 37 CFR 1.97(h), the filing of this Information Disclosure statement shall not be construed to be an admission that any patent,

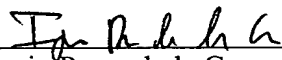
publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

It is submitted that the Information Disclosure Statement is in compliance with 37 CFR 1.98 and the Examiner is respectfully requested to consider the listed references.

The Director is hereby authorized to charge any fees asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 18-1945, under Order No. CSHL-P01-012. A duplicate copy of this paper is enclosed.

Dated: August 6, 2004

Respectfully submitted,

By 
Ignacio Perez de la Cruz
Registration No.: 55,535
ROPES & GRAY LLP
45 Rockefeller Plaza
New York, NY 10111-0087
(212) 497-3613
(212) 497-3650 (Fax)
Attorneys/Agents For Applicant



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	10/763479
				Filing Date	January 23, 2004
				First Named Inventor	Vivek Mittal
				Art Unit	1645
				Examiner Name	Not Yet Assigned
Sheet	1	of	2	Attorney Docket Number	CSHL-P01-012

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	AA	US-2002/0177564-A1	12-28-2002	Evans et al.	
	AB	US-6,333,318	12-25-2001	Evans et al.	
	AC	US-6,245,531	06-12-2001	Hogness et al.	
	AD	US-6,610,828	08-26-2003	Jepson et al.	
	AE	US-6,258,603	07-10-2001	Carlson et al.	
	AF	US-2001/0044151	11-22-2001	Carlson et al.	
	AG	US-2003/0088890	05-08-2003	Albertsen et al.	
	AH	US-2003/0110528	06-12-2003	Albertsen et al.	
	AI	US-2002/0187972-A1	12-12-2002	Evans et al.	
	AJ	US-2002/0119521-A1	08-29-2002	Palli et al.	
	AK	US-2002/0065243-A1	05-30-2002	Fung et al.	
	AL	US-2003/0220286-A1	11-27-2003	Abruzzese et al.	
	AM	US-6,251,640	06-26-2001	Yao	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
	BA	WO-97/38117	10-16-1997	Evans et al.		
	BB	WO-96/37609	11-28-1996	Jepson et al.		
	BC	WO-01/70816	09-27-2001	Palli et al.		
	BD	WO-02/066612	08-29-2002	Palli et al.		
	BE	WO-02/066614	08-29-2002	Palli et al.		
	BF	WO-02/088346	11-07-2002	Massie et al.		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			T ²
	CA	WIZNEROWICZ et al., Conditional Suppression of Cellular Genes: Lentivirus Vector-Mediated Drug-Inducible RNA Interference, 2003. J Virol.;77(16):8957-61			
	CB	CZAUDERNA F et al., Inducible shRNA expression for application in a prostate cancer mouse model, 2003. Nucleic Acids Res. 31(21):e127			
	CC	VAN DE WETERING et al., Specific inhibition of gene expression using a stably integrated, inducible small-interfering-RNA vector, 2003. EMBO Rep.;4(6):609-15			
	CD	OHKAWA et al., Control of the Functional Activity of an Antisense RNA by a Tetracycline-Responsive Derivative of the Human U6 snRNA Promoter, 2000. Human Gene Therapy 11(4):577-685			
	CE	SAEZ et al., Inducible gene expression in mammalian cells and transgenic mice, 1997. Current Opinion in Biotechnology 8: 608-616			
Examiner Signature				Date Considered	

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/B/PTO		Complete if Known	
		Application Number	10/763479
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Filing Date	January 23, 2004
		First Named Inventor	Vivek Mittal
		Art Unit	1645
		Examiner Name	Not Yet Assigned
		Attorney Docket Number	CSHL-P01-012
Sheet	2	of	2

CF	BOYD et al., In vivo footprinting studies suggest a role for chromatin in transcription of the human 7SK gene, 2000. Gene 244:33-44
CG	BODEN et al., Promoter choice affects the potency of HIV-1 specific RNA interference, 2003. Nucleic Acids Res. 31(17):5033-8
CH	XIA et al., An enhance U6 promoter for synthesis of short hairpin RNA, 2003. Nucleic Acids Res. 31(17):100
CI	ELBASHIR et al., Analysis of gene function in somatic mammalian cells using small interfering RNAs, 2002. Methods 26, 199-213.
CJ	PADDISON et al., Short hairpin RNAs (shRNAs) induce sequence-specific silencing in mammalian cells, 2002. Genes Dev 16, 948-58.
CK	SUI et al., A DNA vector-based RNAi technology to suppress gene expression in mammalian cells, 2002. Proc Natl Acad Sci U S A 99, 5515-20
CL	BRUMMELKAMP et al., A system for Stable Expression of Short Interfering RNAs in Mammalian Cells, 2002. Science 296, 550-3
CM	PAUL et al., Effective expression of small interfering RNA in human cells, 2002. Nat Biotechnol 20, 505-8
CN	RUBINSON et al., A lentivirus-based system to functionally silence genes in primary mammalian cells, stem cells and transgenic mice by RNA interference, 2003. Nat Genet 33, 401-6
CO	GOSSEN et al., Transcriptional Activation by Tetracyclines in Mammalian Cells, 1995. Science 268, 1766-9
CP	NO et al., Edysone-inducible gene expression in mammalian cells and transgenic mice, 1996. Proc Natl Acad Sci U S A 93, 3346-51
CQ	CRAENENBROECK et al., Evaluation of the tetracycline- and edysone-inducible systems for expression of neurotransmitter receptors in mammalian cells, 2001. Eur J Neurosci 14, 968-76
CR	STOLAROV et al., Design of a retroviral-mediated edysone-inducible system and its application to the expression profiling of the PTEN tumor suppressor, 2001. Proc Natl Acad Sci U S A 98, 13043-8
CS	LIN, et al., Spatially Discrete, Light-Driven Protein Expression, 2002. Chem Biol 9, 1347-53
CT	DAS et al., Basal promoter elements as a selective determinant of transcriptional activator function, 1995. Nature 37:657-660
CU	KARNS et al., Manipulation of gene expression by an edysone-inducible gene switch in tumor xenografts, 2001. BMC Biotechnology 1, 11
CV	CARMELL et al., Germline transmission of RNAi in mice, 2003. Nat Struct Biol 10, 91-2.
CW	MEISSNER et al., Development of an inducible pol III transcription system essentially requiring a mutated form of the TATA-binding protein, 2001. Nucleic Acids Research 29(8), 1672-1682

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature	Date Considered
--------------------	-----------------

9364891.1



Application No. (if known): 10/763,479

Attorney Docket No.: CSHL-P01-012

Certificate of Mailing Under 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. ED 181235032 US in an envelope addressed to:

MS Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

on August 6, 2004
Date

Signature

Linda Blake

Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

IDS (Citation) by Applicant (2 pages)